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PURPOSE

The National Incident Management System Capability Assessment Support Tool (NIMCAST) is a self-assessment instrument for State, local, tribal, and private-sector and nongovernmental organizations to evaluate their jurisdiction's ability to effectively prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. The National incident Management System (NIMS) and, by extension, the NIMCAST are designed to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive system for incident management.

BACKGROUND

In Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, the President directed the Secretary of Homeland Security to develop and administer a unified, national system for managing incidents. The NIMS provides a consistent Nationwide approach for Federal, State, local, and tribal governments to work effectively and efficiently together to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

The NIMS incorporates the best practices currently in use by incident managers at all levels and represents a core set of doctrine, concepts, principles, terminology, and organizational processes to enable effective, efficient, and collaborative incident management at all levels. HSPD-5 requires all Federal Departments and agencies to adopt the NIMS and to use it in their individual domestic incident management and emergency prevention, preparedness, response, recovery, and mitigation programs and activities, as well as in support of those actions taken to assist State, local, or tribal entities.

The Department of Homeland Security (DHS) Emergency Preparedness and Response Directorate developed the NIMCAST to contribute to the establishment of a national baseline for compliance by all State, local, and tribal jurisdictions with the NIMS. It will also include readiness metrics and elements that support the national preparedness goal, including standards for preparedness assessments and strategies and a system for assessing the Nation's overall preparedness to respond to major events, especially those involving acts of terrorism.

HSPD-8, *National Preparedness*, provides that the primary mechanism for delivery of Federal preparedness assistance will be awards to the States. Federal preparedness assistance will support State and local entities' efforts, including planning, training, exercises, interoperability, and equipment acquisition for major events as well as building capacity for prevention activities such as information gathering, detection, deterrence, and collaboration related to terrorist attacks.

AUTHORITIES

- Homeland Security Act of 2002
- Homeland Security Presidential Directive/HSPD-5, *Management of Domestic Incidents.*

- Homeland Security Presidential Directive/HSPD-8, *National Preparedness.*
- Department of Homeland Security (DHS), *National Incident Management System*, March 1, 2004.

WHY DO WE NEED A SELF-ASSESSMENT?

Jurisdictions at all levels of government, the private sector, and nongovernmental organizations must implement the requirements established in the NIMS in order to apply this comprehensive national approach. The NIMCAST assists in that compliance by allowing incident and resource managers to assess their current capabilities and determine what additional actions and resources are needed to effectively participate in the NIMS.

Additionally, HSPD-5 requires Federal Departments and agencies to make adoption of the NIMS by State and local organizations a condition for Federal preparedness assistance. The NIMCAST will facilitate the adoption of the NIMS by State, local, and tribal governments in order to meet the requirement established in HSPD-5.

USES OF THE NIMCAST

This instrument provides a great benefit to incident managers at all levels of government by conducting a NIMS capabilities assessment. The instrument is designed for use as an automated assessment that provides instant feedback, such as tabulated results, reports, and graphic displays of results. The NIMCAST assessment process provides jurisdictions with additional management tools necessary to strengthen their incident management programs, including:

1. An assessment tool to measure compliance with incident management standards.
2. Establishment of a baseline (initial survey of capabilities) for strategic planning.
3. Assistance in the development of plans to achieve the prescribed capabilities and correct deficiencies.
4. A comprehensive incident management program review.
5. Justification of budget, staff, and resources.
6. Program orientation for new staff members or leadership.

PROCESS

1. **Distribution Process**

   The NIMCAST is rolled out through a permission-based system. All users will be invited by the next higher level to complete the assessment. This roll out will initially reach down to the county and independent city level. County and independent city incident managers distribute invitations to join the system to representatives of disciplines covered by the NIMS. This distribution includes appropriate private-sector and nongovernmental organization representatives. Discipline-specific representatives may also be invited by the county or city incident manager to view the NIMCAST online as "read only" users

(meaning they can view the instrument and all of its functions online, but not fill out the assessment).

2. Completing the NIMCAST

The incident manager is responsible for collecting all feedback from those personnel tasked to provide input on the jurisdiction's incident management capabilities. Once all necessary information is gathered, the emergency manager must complete the online tool and submit the assessment for rollup.

I. Accessing the NIMCAST

To access the NIMCAST, go to http://www.fema.gov/nimcast. Registered users should log in using the login box on the right side of the page, which prompts users to enter their e-mail address and password to access the system.

First-time users will be prompted to enter their temporary password and change it to a permanent password. Note that when changing the password, new passwords must be at least 8 characters long and contain at least one number or special character.

II. Filling out the Assessment
    A. Upon accessing the NIMCAST, note that it is separated into seven chapters (in accordance with the NIMS document).
    B. Choose a chapter to work with and click on its title.
    C. Choose a section to complete and click on its title.
    D. Each NIMCAST section has the following elements:
        1. A shaded box at the top of each section containing a specific NIMS reference. Each reference is taken verbatim from the NIMS document and its section and page number in the NIMS is annotated.
        2. Below the reference area, there are capability assessment statements adopted directly from the NIMS reference. Note that some NIMS-derived compliance statements are broken down into several bulleted statements. Additionally, if a NIMS reference has multiple unique parts, each part may be addressed individually in separate statements; however, there is only one "YES/NO" question for each NIMS reference section.
    E. Answering the NIMCAST Capability Assessment Questions
        1. For each NIMS-derived compliance statement, provide either a "Yes" or "No" answer.
        2. Voluntary information fields are available if users want to track their NIMS implementation progress. These fields include the following:

a. Month and year of compliance.

b. Proof of compliance.

c. Compliance strategy describing actions that will be taken to achieve compliance as appropriate.

d. Estimated percentage of compliance achieved to date.

3. Once a section is complete, click the box at the bottom of the page labeled "Save & Continue." A green check will appear next to the appropriate section on the main page for that chapter.

3. **Submitting the NIMCAST**

Step 1. The incident manager should submit a completed version of the NIMCAST instrument by using the "Submit for Rollup" link on the left side of the NIMCAST Web page. The instrument will roll up for review using the same channel by which it was rolled out. Users roll up to the next highest level. For instance, counties and independent cities roll up to States, and States then roll up to the Federal Government.

Step 2. At each level of the roll up process, the NIMCAST must be filled in, until a Statewide incident management capability and NIMS compliance can be accurately reflected. The State incident management administrator will submit the State's finalized NIMCAST to the NIMS Integration Center for review.

I. Introduction and Overview

Chapter I of the NIMS provides an introduction and outlines the concepts and principles that serve as a foundation for the NIMS. Chapter I also outlines the components that make up the core of the NIMS. Chapter I does not, however, contain specific requirements for compliance with NIMS and therefore is not included in the capabilities assessment. To review this chapter of the NIMS, please see the complete NIMS document in the Resources window on the left the NIMCAST web application.

II. Command and Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-a. Most Incidents Are Managed Locally

NIMS: *The initial response to most domestic incidents is typically handled by local "911" dispatch centers, emergency responders within a single jurisdiction, and direct supporters of emergency responders. Most responses need go no further. In other instances, incidents that begin with a single response discipline within a single jurisdiction may rapidly expand to multidiscipline, multijurisdictional incidents requiring significant additional resources and operational support. Whether for incidents in which additional resources are required or are provided from different organizations within a single jurisdiction or outside the jurisdiction, or for complex incidents with national-level implications (such as an emerging infectious disease or a bioterror attack), the ICS provides a flexible core mechanism for coordinated and collaborative incident management. **When a single incident covers a large geographical area, multiple local ICS organizations may be required. Effective cross-jurisdictional coordination using processes and systems described in the NIMS is absolutely critical in this instance.** [II-A-1-a (Page 7)]*

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to ensure **effective cross-jurisdictional coordination** between multiple local ICS organizations responding to an incident covering a large geographical area.   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-b. Field Command and Management Functions

NIMS:	***The NIMS requires that field command and management functions be performed in accordance with a standard set of ICS organizations, doctrine, and procedures. However, Incident Commanders generally retain the flexibility to modify procedures or organizational structure to align as necessary with the operating characteristics of their specific jurisdictions or to accomplish the mission in the context of a particular hazard scenario.*** *[II-A-1-b (Page 8)]*

The jurisdiction has implemented and institutionalized processes and/or plans to ensure:
_____YES _____NO

- field command and management functions are performed in accordance with a standard set of ICS **organizations, doctrine, and procedures.**
- Incident Commanders have the authority and flexibility to **modify procedures and organizational structure** as necessary to align with the operating characteristics of their specific jurisdiction or to accomplish the mission in the context of a particular hazard scenario.

Notes: _____

(Voluntary Information) Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-c. ICS Is Modular and Scalable

NIMS: *ICS is designed to have the following operating characteristics; it should be:*
- *suitable for operations within a single jurisdiction or single agency, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement;*
- *applicable and acceptable to users throughout the country;*
- *readily adaptable to new technology;*
- *adaptable to any emergency or incident to which domestic incident management agencies would be expected to respond; and*
- *have a scalable organizational structure that is based on the size and complexity of the incident.*

[II-A-1-c (Page 8)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS is **modular and scalable** through the following operating characteristics: ＿＿＿YES ＿＿＿NO
- suitable for operations within a **single jurisdiction or agency.**
- suitable for operations within a **single jurisdiction with multiagency involvement.**
- suitable for operations within **multiple jurisdictions with multiagency involvement.**
- **readily adaptable to new technology.**
- **adaptable to any emergency or incident** to which domestic incident management agencies would be expected to respond.
- **scalable in organizational structure** based on the size and complexity of the incident.

Notes: ＿＿＿

(Voluntary Information)   Projected Compliance Date: ＿＿＿＿＿, ＿＿＿

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-d. ICS Has Interactive Management Components

NIMS:	*These set the stage for effective and efficient incident management and emergency response. [II-A-1-d (Page 8)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS has **interactive management components.**

_____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-f. ICS Incorporates Measurable Objectives

NIMS:	*Measurable objectives ensure fulfillment of incident management goals. Objective setting begins at the top and is communicated throughout the entire organization.* *[II-A-1-f (Page 9)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its:
 _____YES _____NO
- ICS **incorporates measurable objectives** to ensure fulfillment of incident management goals.
- incident management **objective-setting begins at the top and is communicated throughout the entire organization.**

Notes: _____

(Voluntary Information) Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-g. Minimal Disruption

NIMS:	*The implementation of ICS should have the least possible disruption on existing systems and processes. This will facilitate its acceptance across a Nationwide user community and ensure continuity in the transition process from normal operations. [II-A-1-g (Page 9)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS has the **least possible disruption on existing systems and processes.**   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-1-h. Broad Applicability

NIMS:	*ICS should be user friendly and be applicable across a wide spectrum of emergency response and incident management disciplines. This will enable the communication, coordination, and integration critical to an effective and efficient NIMS. [II-A-1-h (Page 9)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS is **user-friendly and applicable** across a wide spectrum of emergency response and incident management disciplines.

_____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-a. Common Terminology

NIMS:	***ICS establishes common terminology that allows diverse incident management and support entities to work together across a wide variety of incident management functions and hazard scenarios. This common terminology covers the following:*** • ***Organizational Functions. Major functions and functional units with domestic incident management responsibilities are named and defined. Terminology for the organizational elements involved is standard and consistent.*** • ***Resource Descriptions. Major resources--including personnel, facilities, and major equipment and supply items--used to support incident management activities are given common names and are "typed" with respect to their capabilities, to help avoid confusion and to enhance interoperability.*** *The process for accomplishing this task is specified in Chapter IV.* • ***Incident Facilities. Common terminology is used to designate the facilities in the vicinity of the incident area that will be used in the course of incident management activities.*** *[II-A-2-a (Page 9)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS uses **common terminology** for organizational functions, resource descriptions, and incident facilities.   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-b. Modular Organization

NIMS: *The incident command organizational structure develops in a top-down, modular fashion that is based on the size and complexity of the incident, as well as the specifics of the hazard environment created by the incident. When needed, separate functional elements can be established, each of which may be further subdivided to enhance internal organizational management and external coordination.* ***Responsibility for the establishment and expansion of the ICS modular organization ultimately rests with the Incident Commander (IC), who bases these on the requirements of the situation. As incident complexity increases, the organization expands from the top down as functional responsibilities are delegated. Concurrently with structural expansion, the number of management positions expands to adequately address the requirements of the incident.*** *[II-A-2-b (Page 10)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS: _____YES _____NO
- places responsibility for the **establishment and expansion of the ICS modular organization** on the IC.
- **expands from the top down** as incident complexity increases and functional responsibilities are delegated.
- **expands the number of management positions concurrently with structural expansion** to adequately address the requirements of the incident.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-c. Management by Objectives

> **NIMS:** *Management by objectives represents an approach that is communicated throughout the entire ICS organization. This approach includes the following:*
> - *establishing overarching objectives;*
> - *developing and issuing assignments, plans, procedures, and protocols;*
> - *establishing specific, measurable objectives for various incident management functional activities, and directing efforts to attain them, in support of defined strategic objectives; and*
> - *documenting results to measure performance and facilitate corrective action.*
>
> *[II-A-2-c (Page 10)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its approach to management by objectives includes:

_____YES _____NO

- **establishing overarching objectives.**
- **developing and issuing assignments, plans, procedures, and protocols.**
- **establishing and directing efforts to attain specific, measurable objectives** for various incident management functional activities in support of defined strategic objectives.
- **documenting results to measure performance and facilitate corrective action.**

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-d. Reliance on an Incident Action Plan

NIMS:	*Incident Action Plans (IAPs) provide a coherent means of communicating the overall incident objectives in the contexts of both operational and support activities.* [II-A-2-d (Page 10)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its **ICS relies upon an IAP** to provide a coherent means of communicating the overall incident objectives in the context of operational and support activities.

_____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-e. Manageable Span of Control

NIMS:	*Span of control is key to effective and efficient incident management.* ***Within ICS, the span of control of any individual with incident management supervisory responsibility should range from three to seven subordinates.*** *The type of incident, nature of the task, hazards and safety factors, and distances between personnel and resources all influence span-of-control considerations. [II-A-2-e (Page 10)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS provides for a **manageable span of control** where supervisors are expected to manage a range of three to seven subordinates.

_____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-f. Predesignated Incident Locations and Facilities

NIMS:	*Various types of operational locations and support facilities are established in the vicinity of an incident to accomplish a variety of purposes, such as decontamination, donated goods processing, mass care, and evacuation.* **The IC will direct the identification and location of facilities based on the requirements of the situation at hand.** *Typical predesignated facilities include incident command posts, bases, camps, staging areas, mass casualty triage areas, and others, as required. [II-A-2-f (Page 10)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its ICS designates the IC to direct the **identification and location of facilities** based on the requirements of the situation at hand.

_____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-g. Comprehensive Resource Management

NIMS:	*Maintaining an accurate and up-to-date picture of resource utilization is a critical component of domestic incident management. Resource management includes processes for categorizing, ordering, dispatching, tracking, and recovering resources. It also includes processes for reimbursement for resources, as appropriate.* Resources are defined as personnel, teams, equipment, supplies, and facilities available or potentially available for assignment or allocation in support of incident management and emergency response activities. [II-A-2-g (Page 11)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for **categorizing, ordering, dispatching, tracking, and recovering resources** to maintain an accurate, up-to-date picture of resource use.

_____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-h. Integrated Communications

NIMS:	*Incident communications are facilitated through the development and use of a common communications plan and interoperable communications processes and architectures. This integrated approach links the operational and support units of the various agencies involved and is necessary to maintain communications connectivity and discipline and enable common situational awareness and interaction. Preparedness planning must address the equipment, systems, and protocols necessary to achieve integrated voice and data incident management communications. [II-A-2-h (Page 11)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure an integrated communications capability, which includes: _____YES _____NO
  • the development and use of a **common communications plan.**
  • the development and use of **interoperable communications processes and architectures.**
The jurisdiction's preparedness planning addresses **equipment, systems, and protocols** necessary to achieve integrated voice and data incident management communications.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-i. Establishment and Transfer of Command

NIMS:	*The command function must be clearly established from the beginning of incident operations. The agency with primary jurisdictional authority over the incident designates the individual at the scene responsible for establishing command. When command is transferred, the process must include a briefing that captures all essential information for continuing safe and effective operations. [II-A-2-i (Page 11)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure:

_____YES _____NO

- the **command function is clearly established** at the beginning of incident operations.
- the agency with primary jurisdictional authority over the incident **designates the individual at the scene responsible for establishing command.**
- the **process for transferring command includes a briefing** that captures all essential information for continuing safe and effective operations.

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-k. Unified Command

NIMS:	***In incidents involving multiple jurisdictions, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement, Unified Command allows agencies with different legal, geographic, and functional authorities and responsibilities to work together effectively without affecting individual agency authority, responsibility, or accountability.*** *[II-A-2-k (Page 11)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure in incidents involving multiple jurisdictions, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement:

_____YES _____NO

- its Unified Command structure allows agencies with different legal, geographic, and functional authorities and responsibilities to **work together effectively.**
- its Unified Command structure **does not affect individual agency authority, responsibility, or accountability.**

Notes: _____

(Voluntary Information)

Supporting Documentation:

Projected Compliance Date: _____, _____

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-I. Accountability

NIMS: *Effective accountability at all jurisdictional levels and within individual functional areas during incident operations is essential.* ***To that end, the following principles must be adhered to:***
- ***Check-In. All responders, regardless of agency affiliation, must report in to receive an assignment in accordance with the procedures established by the IC.***
- ***Incident Action Plan. Response operations must be directed and coordinated as outlined in the IAP.***
- ***Unity of Command. Each individual involved in incident operations will be assigned to only one supervisor.***
- ***Span of Control. Supervisors must be able to adequately supervise and control their subordinates, as well as communicate with and manage all resources under their supervision.***
- ***Resource Tracking. Supervisors must record and report resource status changes as they occur.***

[II-A-2-I (Page 12)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure:
_____YES _____NO
- all responders, regardless of agency affiliation, **report in to receive an assignment** in accordance with procedures established by the IC.
- response operations are **directed and coordinated** as outlined in the IAP.
- **each individual involved in incident operations is assigned to only one supervisor.**
- supervisors **adequately supervise and control** their subordinates.
- supervisors **communicate with and manage** all resources under their supervision.
- supervisors **record and report** resource status changes as they occur.

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-m. Deployment

NIMS:	*Personnel and equipment should respond only when requested or when dispatched by an appropriate authority.* [II-A-2-m (Page 12)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure personnel and equipment **respond only when requested or dispatched** by an appropriate authority. _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-2-n. Information and Intelligence Management

NIMS:	*The incident management organization must establish a process for gathering, sharing, and managing incident-related information and intelligence.* [II-A-2-n (Page 12)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for **gathering, sharing, and managing** incident-related information and intelligence.

_____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-a. Command and General Staff Overview

NIMS: *The ICS organization has five major functions. These are: command, operations, planning, logistics, and finance and administration (with a potential sixth functional area to cover the intelligence function. (1) Command. Command comprises the IC and Command Staff. Command Staff positions are established to assign responsibility for key activities not specifically identified in the General Staff functional elements. These positions may include the Public Information Officer (PIO), Safety Officer (SO), and Liaison Officer (LNO), in addition to various others, as required and assigned by the IC. (2) General Staff. The General Staff comprises incident management personnel who represent the major functional elements of the ICS including the Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance/Administration Section Chief. **Command Staff and General Staff must continually interact and share vital information and estimates of the current and future situation and develop recommended courses of action for consideration by the IC.** [II-A-3-a (Page 12)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure its Command Staff and General Staff **continually interact and share vital information** and estimates of the current and future situation and develop recommended courses of action for consideration by the IC.

_____YES _____NO

Notes: _____

(Voluntary Information)

Supporting Documentation:

Projected Compliance Date: _____, _____

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-1-a. Single Command IC

NIMS:	***Command Staff is responsible for overall management of the incident. This includes Command Staff assignments required to support the command function. (1) The Command Function. The command function may be conducted in two general ways: (a) Single Command IC. When an incident occurs within a single jurisdiction and there is no jurisdictional or functional agency overlap, a single IC should be designated with overall incident management responsibility by the appropriate jurisdictional authority. (In some cases in which incident management crosses jurisdictional and/or functional agency boundaries, a single IC may be designated if all parties agree to such an option.) Jurisdictions should consider predesignating ICs in their preparedness plans. The designated IC will develop the incident objectives on which subsequent incident action planning will be based. The IC will approve the Incident Action Plan (IAP) and all requests pertaining to the ordering and releasing of incident resources.*** *[II-A-3-b-1-a (Page 13)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure: _____YES _____NO

- the Command Staff is responsible for the **overall management of an incident.**
- **a single IC is designated** for incidents that occur within a single jurisdiction with no functional agency overlap or when all parties to a cross-jurisdictional or multifunctional response agree to a single IC.
- has considered **predesignating ICs** in its preparedness plans.
- the IC **develops incident objectives** on which subsequent incident action planning will be based.
- the IC **approves the IAP and all requests pertaining to the ordering and releasing of incident resources.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-1-b. Unified Command

NIMS:	*UC is an important element in multijurisdictional or multiagency domestic incident management. It provides guidelines to enable agencies with different legal, geographic, and functional responsibilities to coordinate, plan, and interact effectively. As a team effort, UC overcomes much of the inefficiency and duplication of effort that can occur when agencies from different functional and geographic jurisdictions, or agencies at different levels of government, operate without a common system or organizational framework. **All agencies with jurisdictional authority or functional responsibility for any or all aspects of an incident and those able to provide specific resource support participate in the UC structure and contribute to the process of determining overall incident strategies; selecting objectives; ensuring that joint planning for tactical activities is accomplished in accordance with approved incident objectives; ensuring the integration of tactical operations; and approving, committing, and making optimum use of all assigned resources.** The exact composition of the UC structure will depend on the location(s) of the incident (i.e., which geographical administrative jurisdictions are involved) and the type of incident (i.e., which functional agencies of the involved jurisdiction(s) are required). In the case of some multijurisdictional incidents, the designation of a single IC may be considered to promote greater unity of effort and efficiency. [II-A-3-b-1-b (Page 14)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure **all agencies** with jurisdictional authority or functional responsibility for any or all aspects of an incident and those able to provide specific resource support **participate in the UC structure.**   _____YES _____NO

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure it is prepared to participate in the Unified Command structure by contributing to the process of:
* **determining overall incident strategies.**
* **selecting objectives.**
* **jointly planning tactical activities** in accordance with approved incident objectives.
* **integrating tactical operations.**
* **approving, committing, and making optimum use of all assigned resources.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-1-b-iii. Incident Action Plan

NIMS:	***Under UC, the IAP is developed by the Planning Section Chief and is approved by the UC. A single individual, the Operations Section Chief, directs the actual implementation of the IAP.*** *The Operations Section Chief will normally come from the agency with the greatest jurisdictional involvement.* ***UC participants will agree on the designation of the Operations Section Chief.*** *[II-A-3-b-1-b-iii (Page 15)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure, when operating under a UC structure:

_____YES _____NO

- the **Planning Section Chief develops the IAP,** which is approved by the UC.
- the **Operations Section Chief directs the tactical implementation of the IAP.**
- **all participants agree** on the designation of the Operations Section Chief.

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-1-b-iv. Command Practices

NIMS:	***UC works best when the participating members of the UC collocate at the Incident Command Post and observe the following practices: select an Operations Section Chief for each operational period; keep each other informed of specific requirements; establish consolidated incident objectives, priorities, and strategies; coordinate to establish a single system for ordering resources; develop a consolidated IAP, written or oral, evaluated and updated at regular intervals; and establish procedures for joint decisionmaking and documentation.** [II-A-3-b-1-b-iv (Page 15)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure participating members of the UC:

_____YES _____NO

- **collocate** at the Incident Command Post.
- **select an Operations Section Chief** for each operational period.
- **keep each other informed** of specific requirements.
- **develop a consolidated IAP,** written or oral, that is evaluated and updated at regular intervals.
- **establish procedures for joint decisionmaking and documentation.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-2. Command Staff Responsibilities

NIMS:	*In an Incident Command organization, the Command Staff consists of the Incident Command and various special staff positions. The special staff positions are specifically designated, report directly to the Incident Command, and are assigned responsibility for key activities that are not a part of the ICS General Staff functional elements.* ***Three special staff positions are typically identified in ICS: Public Information Officer, Safety Officer, and Liaison Officer. Additional positions may be required, depending on the nature, scope, complexity, and location(s) of the incident(s), or according to specific requirements established by the IC.*** *[II-A-3-b-2 (Page 16)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure **necessary special staff positions** (such as a Public Information Officer, Safety Officer, and Liaison Officer) are **specifically designated, report directly to the Incident Command, and are assigned responsibility for key activities** that are not a part of the ICS General Staff functional elements.

_____YES _____NO

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-2-a. Public Information Officer

NIMS: *The PIO is responsible for interfacing with the public and media and/or with other agencies with incident-related information requirements. The PIO develops accurate and complete information on the incident's cause, size, and current situation; resources committed; and other matters of general interest for both internal and external consumption. The PIO may also perform a key public information-monitoring role.* **Whether the command structure is single or unified, only one incident PIO should be designated. Assistants may be assigned from other agencies or departments involved. The IC must approve the release of all incident-related information.** *[II-A-3-b-2-a (Page 16)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure when a PIO is designated: _____YES _____NO
  • the **PIO develops accurate and complete information** on the incident for both internal and external consumption.
  • **only one incident PIO** is designated (even under Unified Command).
  • the IC **approves the release** of all incident-related information.

       Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-2-b. Safety Officer

NIMS:	*The SO monitors incident operations and advises the IC on all matters relating to operational safety, including the health and safety of emergency responder personnel. The ultimate responsibility for the safe conduct of incident management operations rests with the IC or UC and supervisors at all levels of incident management. **The SO is, in turn, responsible to the IC for the set of systems and procedures necessary to ensure ongoing assessment of hazardous environments, coordination of multiagency safety efforts, and implementation of measures to promote emergency responder safety, as well as the general safety of incident operations. The SO has emergency authority to stop and/or prevent unsafe acts during incident operations. In a UC structure, a single SO should be designated, in spite of the fact that multiple jurisdictions and/or functional agencies may be involved. Assistants may be required and may be assigned from other agencies or departments constituting the UC. The SO, Operations Section Chief, and Planning Section Chief must coordinate closely regarding operational safety and emergency responder health and safety issues. The SO must also ensure the coordination of safety management functions and issues across jurisdictions, across functional agencies, and with private-sector and nongovernmental organizations.** It is important to note that the agencies, organizations, or jurisdictions that contribute to joint safety management efforts do not lose their individual identities or responsibility for their own programs, policies, and personnel. Rather, each entity contributes to the overall effort to protect all responder personnel involved in incident operations. [II-A-3-b-2-b (Page 17)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure when a Safety Officer is designated: _____YES _____NO

- the **SO monitors incident operations and advises the IC** on all matters relating to operational safety.
- the SO is responsible to the IC for the **set of systems and procedures** necessary to ensure ongoing assessment of hazardous environments, coordination of multiagency safety efforts, implementation of measures to promote emergency responder safety, and the general safety of incident operations.
- the SO has **emergency authority** to stop and/or prevent unsafe acts during incident operations.
- **only one incident SO** is designated (even under Unified Command).
- the **SO, Operations Section Chief, and Planning Section Chief coordinate closely** regarding **operational safety and emergency responder health and safety** issues.
- the **SO coordinates** safety management functions and issues **across jurisdictions, across functional agencies, and with private-sector and nongovernment organizations.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-b-2-c. Liaison Officer

NIMS:	*The LNO is the point of contact for representatives of other governmental agencies, nongovernmental organizations, and/or private entities. In either a single or UC structure, representatives from assisting or cooperating agencies and organizations coordinate through the LNO.* ***Agency and/or organizational representatives assigned to an incident must have the authority to speak for their parent agencies and/or organizations on all matters, following appropriate consultations with their agency leadership.*** *Assistants and personnel from other agencies or organizations (public or private) involved in incident management activities may be assigned to the LNO to facilitate coordination. [II-A-3-b-2-c (Page 17)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure when a Liaison Officer is designated: _____YES _____NO
  • the LNO is the point of contact for representatives of other government agencies, nongovernmental organizations, and/or private entities, in either a single or UC structure.
  • **agency and organizational representatives** have the authority to **speak for their parent agencies on all matters,** following appropriate consultations with their agency leadership.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-1-a. Operations Section Chief

NIMS:	*The Operations Section Chief is responsible to the IC or UC for the direct management of all incident-related operational activities.* **The Operations Section Chief will establish tactical objectives for each operational period, with other section chiefs and unit leaders establishing their own supporting objectives.** *The Operations Section Chief may have one or more deputies assigned, with the assignment of deputies from other agencies encouraged in the case of multijurisdictional incidents.* **An Operations Section Chief should be designated for each operational period and should have direct involvement in the preparation of the IAP for the corresponding period of responsibility.** *[II-A-3-c-1-a (Page 19)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure the Operations Section Chief:

_____YES _____NO

- is responsible to the IC or UC for the direct **management of all incident-related operational activities.**
- **establishes tactical objectives** for each operational period.
- **is designated** for each operational period.
- **has direct involvement in the preparation of the IAP** for their operational period of responsibility.

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-1-b. Branches

NIMS:	*Branches may be used to serve several purposes, and may be functional or geographic in nature. In general, branches are established when the number of divisions or groups exceeds the recommended span of control of one supervisor to three to seven subordinates for the Operations Section Chief (a ratio of 1:5 is normally recommended, or 1:8 to 1:10 for many larger-scale law enforcement operations). [II-A-3-c-1-b (Page 19)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure **branches are established** when the number of divisions or groups exceeds the recommended span of control for the Operations Section Chief.   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-1-c. Divisions and Groups

NIMS:	***Divisions and Groups are established when the number of resources exceeds the manageable span of control of the IC and the Operations Section Chief. Divisions are established to divide an incident into physical or geographical areas of operation. Groups are established to divide the incident into functional areas of operation.*** *For certain types of incidents, for example, the IC may assign intelligence-related activities to a functional group in the Operations Section. There also may be additional levels of supervision below the Division or Group level. [II-A-3-c-1-c (Page 19)]*

The jurisdiction has implemented and institutionalized processes, _____YES _____NO
procedures, and/or plans to ensure:
- **Divisions and Groups are established** when the number of resources exceeds the manageable span of control of the IC and the Operations Section Chief.
- **Divisions are established** to divide an incident into physical or geographical areas of operation.
- **Groups are established** to divide the incident into functional areas of operation.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-1-d. Resources

NIMS:	***Resources refer to the combination of personnel and equipment required to enable incident management operations. Resources may be organized and managed in three different ways, depending on the requirements of the incident: (i) Single Resources. These are individual personnel and equipment items and the operators associated with them. (ii) Task Forces. A Task Force is any combination of resources assembled in support of a specific mission or operational need. All resource elements within a Task Force must have common communications and a designated leader. (iii) Strike Teams. Strike Teams are a set number of resources of the same kind and type that have an established minimum number of personnel. The use of Strike Teams and Task Forces is encouraged, wherever possible, to optimize the use of resources, reduce the span of control over a large number of single resources, and reduce the complexity of incident management coordination and communications.*** *[II-A-3-c-1-d (Page 20)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to **ensure resources are organized and managed,** depending on the requirements of the incident, as either **single resources, Task Forces, or Strike Teams.**   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-2. Planning Section

NIMS:	*The Planning Section collects, evaluates, and disseminates incident situation information and intelligence to the IC or UC and incident management personnel, prepares status reports, displays situation information, maintains status of resources assigned to the incident, and develops and documents the IAP based on guidance from the IC or UC. The Planning Section comprises four primary units, as well as a number of technical specialists to assist in evaluating the situation, developing planning options, and forecasting requirements for additional resources. The Planning Section is normally responsible for gathering and disseminating information and intelligence critical to the incident, unless the IC places this function elsewhere. The Planning Section is also responsible for developing and documenting the IAP. The IAP includes the overall incident objectives and strategies established by the IC or UC. In the case of UC, the IAP must adequately address the mission and policy needs of each jurisdictional agency, as well as interaction between jurisdictions, functional agencies, and private organizations. The IAP also addresses tactical objectives and support activities required for one operational period, generally 12 to 24 hours. The IAP also contains provisions for continuous incorporation of "lessons learned" as incident management activities progress. An IAP is especially important when (a) resources from multiple agencies and/or jurisdictions are involved; (b) multiple jurisdictions are involved; (c) the incident will effectively span several operational periods; (d) changes in shifts of personnel and/or equipment are required; or there is a need to document actions and/or decisions. [II-A-3-c-2 (Page 20)]*

The jurisdiction has implemented and institutionalized processes,   _____YES _____NO
procedures, and/or plans to ensure the Planning Section:
- **collects, evaluates, and disseminates** incident situation information and intelligence to the IC or UC and incident management personnel.
- **prepares status reports, displays situation information, and maintains status of resources** assigned to the incident.
- **develops and documents the IAP** based on guidance from the IC or UC.
- **gathers and disseminates information and intelligence** critical to the incident, unless the IC places this function elsewhere.

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure the IAP:
- includes the **overall incident objectives and strategies** established by the IC or UC.
- **adequately addresses the mission and policy needs** of each jurisdictional agency in the case of UC.
- **adequately addresses the interaction** between jurisdictions, functional agencies, and private organizations in the case of UC.
- **addresses tactical objectives and support activities** required for each operational period, generally 12 to 24 hours.
- contains provisions for **continuous incorporation of "lessons learned"** as incident management activities progress.
- is developed when **resources or authorities from multiple agencies and/or jurisdictions** are involved.
- is developed when the incident will **effectively span several operational periods.**
- is developed when **changes in shifts of personnel and/or equipment are required.**
- is developed when there is **a need to document actions and/or decisions.**

Notes: _____
(Voluntary Information)   Projected Compliance Date: _____, _____   Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-3. Logistics Section

NIMS:	***The Logistics Section is responsible for all support requirements needed to facilitate effective and efficient incident management, including ordering resources from off-incident locations. It also provides facilities, transportation, supplies, equipment maintenance and fuel, food services, communications and information technology support, and emergency responder medical services, including inoculations, as required.*** *[II-A-3-c-3 (Page 22)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure the Logistics Section: _____YES _____NO

- is responsible for **all support requirements** needed to facilitate effective and efficient incident management, including ordering resources from off-incident locations.
- provides **facilities.**
- provides **transportation.**
- provides **supplies.**
- provides **equipment maintenance and fuel.**
- provides **food services.**
- provides **communications and information technology support.**
- provides **emergency responder medical services, including inoculations,** as required.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-4. Finance/Administration Section

NIMS:	*A Finance/Administration Section is established when the agency(s) involved in incident management activities require(s) finance and other administrative support services. Not all incidents will require a separate Finance/Administration Section. In cases that require only one specific function (e.g., cost analysis), this service may be provided by a technical specialist in the Planning Section.* [II-A-3-c-4 (Page 23)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure: _____YES _____NO

- **a Finance/Administration Section is established** when the agency(s) involved in incident management activities require(s) finance and other administrative support services.
- a technical specialist is assigned to the Planning Section **when only one specific Finance/Administration function is required.**

Notes: _____

(Voluntary Information)

Supporting Documentation:

Projected Compliance Date: _____, _____

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-5. Information and Intelligence Function

NIMS:	*The analysis and sharing of information and intelligence are important elements of ICS. In this context, intelligence includes not only national security or other types of classified information but also other operational information, such as risk assessments, medical intelligence (i.e., surveillance), weather information, geospatial data, structural designs, toxic contaminant levels, and utilities and public works data, that may come from a variety of different sources. Traditionally, information and intelligence functions are located in the Planning Section. However, in exceptional situations, the IC may need to assign the information and intelligence functions to other parts of the ICS organization. **In any case, information and intelligence must be appropriately analyzed and shared with personnel, designated by the IC, who have proper clearance and a "need-to-know" to ensure that they support decision-making.** [II-A-3-c-5 (Page 23)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure **information and intelligence** is appropriately analyzed and shared with personnel, designated by the IC, who have a **proper clearance and a "need-to know"** to ensure that they support decisionmaking.

_____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-3-c-5-a. Information and Intelligence Function (organization)

NIMS:	*The intelligence and information function may be organized in one of the following ways: (a) **Within the Command Staff.** This option may be most appropriate in incidents with little need for tactical or classified intelligence and in which incident-related intelligence is provided by supporting Agency Representatives, through real-time, reach-back capabilities. (b) **As a Unit Within the Planning Section.** This option may be most appropriate in an incident with some need for tactical intelligence and when no law enforcement entity is a member of the UC. (c) **As a Branch Within the Operations Section**. This option may be most appropriate in incidents with a high need for tactical intelligence (particularly classified intelligence) and when law enforcement is a member of the UC. (d) **As a Separate General Staff Section.** This option may be most appropriate when an incident is heavily influenced by intelligence factors or when there is a need to manage and/or analyze a large volume of classified or highly sensitive intelligence or information. This option is particularly relevant to a terrorism incident, for which intelligence plays a crucial role throughout the incident life cycle. **Regardless of how it is organized, the information and intelligence function is also responsible for developing, conducting, and managing information related security plans and operations as directed by the IC. These can include information security and operational security activities, as well as the complex task of ensuring that sensitive information of all types (e.g., classified information, sensitive law enforcement information, proprietary and personal information, or export-controlled information) is handled in a way that not only safeguards the information but also ensures that it gets to those who need access to it so that they can effectively and safely conduct their missions. The information and intelligence function also has the responsibility for coordinating information and operational-security matters with public awareness activities that fall under the responsibility of the PIO, particularly where such public awareness activities may affect information or operations security.** [II-A-3-c-5-a (Page 24)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to **organize the intelligence and information function** either within the Command Staff, as a unit within the Planning Section, as a branch within the Operations Section, or as a separate General Staff Section.

_____YES _____NO

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure the information and intelligence function is responsible for:
- **developing, conducting, and managing** information-related security plans and operations as directed by the IC, including safeguarding sensitive information of all types.
- **coordinating information and operational security matters** with the public awareness activities of the PIO.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-4-a. Description

NIMS: *An Area Command is activated only if necessary, depending on the complexity of the incident and incident management span-of-control considerations. An agency administrator or other public official with jurisdictional responsibility for the incident usually makes the decision to establish an Area Command.* **An Area Command is established either to oversee the management of multiple incidents that are each being handled by a separate ICS organization or to oversee the management of a very large incident that involves multiple ICS organizations, such as would likely be the case for incidents that are not site specific, geographically dispersed, or evolve over longer periods of time, (e.g., a bioterrorism event).** *In this sense, acts of biological, chemical, radiological, and/or nuclear terrorism represent particular challenges for the traditional ICS structure and will require extraordinary coordination between Federal, State, local, tribal, private-sector, and nongovernmental organizations.* **Area Command is also used when there are a number of incidents in the same area and of the same type, such as two or more hazardous material (HAZMAT) or oil spills, and fires.** *These represent incidents that may compete for the same resources. When incidents do not have similar resource demands, they are usually handled separately and are coordinated through an Emergency Operations Center (EOC).* **If the incidents under the authority of the Area Command are multijurisdictional, then a Unified Area Command should be established.** *This allows each jurisdiction to have representation in the command structure. Area Command should not be confused with the functions performed by an EOC. An Area Command oversees management of the incident(s), while an EOC coordinates support functions and provides resources support. [II-A-4-a (Page 25)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure an Area Command is established, when necessary, to:
    _____YES _____NO
- **oversee the management of multiple incidents** that are each being handled by a separate ICS organization.
- **oversee the management of a very large incident** that involves multiple ICS organizations.
- **manage a number of incidents** in the same area and of the same type.

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure if incidents under the authority of an Area Command are multijurisdictional, **a Unified Area Command is established.**

       Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-A-4-b. Responsibilities

NIMS:	*For incidents under its authority, an Area Command has the responsibility to set overall incident-related priorities; allocate critical resources according to priorities; ensure that incidents are properly managed; ensure that incident management objectives are met and do not conflict with each other or with agency policy; identify critical resource needs and report them to EOCs and/or multiagency coordination entities; and ensure that short-term emergency recovery is coordinated to assist in the transition to full recovery operations.* [II-A-4-b (Page 25)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure an Area Command has the responsibility to:

_____YES _____NO

- **set overall incident-related priorities.**
- **allocate critical resources** according to priorities.
- ensure incidents are **properly managed.**
- ensure **incident management objectives are met and do not conflict** with each other or with agency policy.
- **identify critical resource needs** and report them to EOCs and/or multiagency coordination entities.
- ensure **short-term emergency recovery is coordinated** to assist in the transition to full recovery operations.

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-B-2-a. Emergency Operations Center (see paragraph 3)

NIMS:	*EOCs may be permanent organizations and facilities or may be established to meet temporary, short-term needs. The physical size, staffing, and equipping of an EOC will depend on the size of the jurisdiction, resources available, and anticipated incident management workload. EOCs may be organized and staffed in a variety of ways.* ***Regardless of the specific organizational structure used, EOCs should include the following core functions: coordination; communications; resource dispatch and tracking; and information collection, analysis, and dissemination.*** *[II-B-2-a (Page 27)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for its EOC to include the following core functions:

_____YES _____NO

- **coordination.**
- **communications.**
- **resource dispatch and tracking.**
- **information collection, analysis, and dissemination.**

Notes: _____

(Voluntary Information)

Supporting Documentation:

Projected Compliance Date: _____, _____

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-B-2-b. Multiagency Coordination Entities

NIMS:	*...Regardless of form or structure, the principal functions and responsibilities of multiagency coordination entities typically include the following: ensuring that each agency involved in incident management activities is providing appropriate situational awareness and resource status information; establishing priorities between incidents and/or Area Commands in concert with the IC or UC(s) involved; acquiring and allocating resources required by incident management personnel in concert with the priorities established by the IC or UC; anticipating and identifying future resource requirements; coordinating and resolving policy issues arising from the incident(s); and providing strategic coordination as required. Following incidents, multiagency coordination entities are also typically responsible for ensuring that improvements in plans, procedures, communications, staffing, and other capabilities necessary for improved incident management are acted on. These improvements should also be coordinated with appropriate preparedness organizations, if these organizations are constituted separately.* [II-B-2-b (Page 28)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for multiagency coordination entities, when established, to be responsible for the following functions: _____YES _____NO
  • ensure each agency involved in incident management activities is providing **appropriate situational awareness and resource status** information.
  • **establish priorities** between incidents and/or Area Commands in concert with the IC or UC(s) involved.
  • **acquire and allocate resources** required by incident management personnel in concert with the priorities established by the IC or UC.
  • **anticipate and identify** future resource requirements.
  • **coordinate and resolve** policy issues arising from the incident(s).
  • **provide strategic coordination** as required.
  • **ensure improvements** in plans, procedures, communications, staffing, and other capabilities are acted on, following the incident(s).
  • **ensure necessary improvements** are coordinated with appropriate preparedness organizations following the incident(s).

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-C-1-a. The PIO Supports the Incident Command

NIMS: *Under the ICS, the Public Information Officer (PIO) is a key staff member supporting the Incident Command structure.* **The PIO represents and advises the Incident Command on all public information matters relating to the management of the incident. The PIO handles media and public inquiries, emergency public information and warnings, rumor monitoring and response, media monitoring, and other functions required to coordinate, clear with appropriate authorities, and disseminate accurate and timely information related to the incident, particularly regarding information on public health and safety and protection. The PIO is also responsible for coordinating public information at or near the incident site and serving as the on-scene link to the Joint Information System (JIS). In a large-scale operation, the on-scene PIO serves as a field PIO with links to the Joint Information Center (JIC), which is typically collocated with the Federal, regional, State, local, or tribal EOC tasked with primary incident coordination responsibilities.** *The JIS provides the mechanism for integrating public information activities among JICs, across jurisdictions, and with private-sector and nongovernmental organizations. [II-C-1-a (Page 28)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for the PIO to: 　　　　　　　　　　　_____YES _____NO

- **represent and advise** the Incident Command on all public information matters relating to the management of the incident.
- handle functions required to coordinate, clear with appropriate authorities, and disseminate accurate and timely information related to the incident, including handling **media and public inquiries, emergency public information and warnings, rumor monitoring and response, and media monitoring.**
- **coordinate public information** at or near the incident site.
- serve as the **on-scene link to the Joint Information System (JIS).**
- serve as a **field PIO with links to the Joint Information Center (JIC)** during a large-scale operation.

Notes: _____

(Voluntary Information)　　　　　　　　Projected Compliance Date: _____, _____

Supporting Documentation:　　　　　　　Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-C-1-b. Coordination and Integration

NIMS:	*Public information functions must be coordinated and integrated across jurisdictions and across functional agencies; among Federal, State, local, and tribal partners; and with private sector and nongovernmental organizations.* [II-C-1-b (Page 29)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to coordinate and integrate public information functions:

_____YES _____NO

- across **jurisdictions** and across **functional agencies.**
- among **Federal, State, local, and tribal partners.**
- with **private sector and nongovernmental organizations.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-C-2-a. Joint Information System

NIMS:	***The JIS provides an organized, integrated, and coordinated mechanism to ensure the delivery of understandable, timely, accurate, and consistent information to the public in a crisis. It includes the plans, protocols, and structures used to provide information to the public during incident operations, and encompasses all public information operations related to an incident, including all Federal, State, local, tribal and private organization PIOs, staff, and JICs established to support an incident. Key elements include the following: interagency coordination and integration; developing and delivering coordinated messages; support for decision-makers; and flexibility, modularity, and adaptability.*** *[II-C-2-a (Page 30)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for its Joint Information System to: _____YES _____NO

- **provide an organized, integrated, and coordinated mechanism** to ensure the delivery of understandable, timely, accurate, and consistent information to the public in a crisis.
- include **plans, protocols, and structures** used to provide information to the public during incident operations.
- **encompass all public information operations related to an incident,** including all Federal, State, local, tribal, and private organization PIOs, staff, and JICs established to support an incident.
- **perform interagency coordination and integration.**
- **develop and deliver coordinated messages.**
- **provide support for decisionmakers.**
- **be flexible, modular, and adaptable.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

II-C-2-b. Joint Information Center

NIMS: *A JIC is a physical location where public affairs professionals from organizations involved in incident management activities can collocate to perform critical emergency information, crisis communications, and public affairs functions. It is important for the JIC to have the most current and accurate information regarding incident management activities at all times. The JIC provides the organizational structure for coordinating and disseminating official information. JICs may be established at each level of incident management, as required. Note the following:*
- **The JIC must include representatives of each jurisdiction, agency, private sector, and nongovernmental organization involved in incident management activities.**
- **A single JIC location is preferable, but the system should be flexible and adaptable enough to accommodate multiple JIC locations when the circumstances of an incident require. Multiple JICs may be needed for a complex incident spanning a wide geographic area or multiple jurisdictions.**
- **Each JIC must have procedures and protocols to communicate and coordinate effectively with other JICs, as well as with other appropriate components of the ICS organization.**

[II-C-2-b (Page 30)]

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans for: _____YES _____NO
- the JIC to include representatives of each **jurisdiction, agency, private sector organization, and nongovernmental organization** involved in incident management activities.
- **multiple JIC locations** when required by the circumstances of an incident.
- each JIC **to communicate and coordinate** with other JICs and other appropriate components of the ICS organization.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

III. Preparedness

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-A-2. A Unified Approach

NIMS:	*Preparedness requires a unified approach. A major objective of preparedness efforts is to ensure mission integration and interoperability in response to emergent crises across functional and jurisdictional lines, as well as between public and private organizations.* [III-A-2 (Page 33)]

The jurisdiction uses a unified approach to preparedness, ensuring **mission integration and interoperability** across functional and jurisdictional lines, as well as between public and private organizations.

_____YES _____NO

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B. Achieving Preparedness

NIMS:	*Individual Federal, State, local, and tribal jurisdictions are responsible for implementing the preparedness cycle in advance of an incident and appropriately including private sector and nongovernmental organizations in such implementation.* [III-B (Page 34)]

The jurisdiction has implemented the preparedness cycle **in advance** of an incident and appropriately included the **private sector and nongovernmental organizations.**   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-1. Preparedness Organizations

NIMS: *Preparedness is the responsibility of individual jurisdictions; this responsibility includes coordinating various preparedness activities among all appropriate agencies within a jurisdiction, as well as across jurisdictions and with private organizations. **This coordination is affected by mechanisms that range from individuals to small committees to large standing organizations. These mechanisms are referred to in this document as "preparedness organizations," in that they serve as ongoing forums for coordinating preparedness activities in advance of an incident.** Preparedness organizations represent a wide variety of committees, planning groups, and other organizations that meet regularly and coordinate with one another to ensure an appropriate focus on planning, training, equipping, and other preparedness requirements within a jurisdiction and/or across jurisdictions. The needs of the jurisdictions involved will dictate how frequently such organizations must conduct their business, as well as how they are structured. **When preparedness activities routinely need to be accomplished across jurisdictions, preparedness organizations should be multijurisdictional.** Preparedness organization at all jurisdictional levels should establish and coordinate emergency plans and protocols including public communications and awareness; integrate and coordinate the activities of the jurisdictions and functions within their purview; establish the standards, guidelines, and protocols necessary to promote interoperability among member jurisdictions and agencies; adopt standards, guidelines, and protocols for providing resources to requesting organizations, including protocols for incident support organizations; set priorities for resources and other requirements; and ensure the establishment and maintenance of multiagency coordination mechanisms, including EOCs, mutual-aid agreements, incident information systems, nongovernmental organization and private-sector outreach, public awareness and information systems, and mechanisms to deal with information and operations security. [III-B-1 (Page 34)]*

The jurisdiction has defined and institutionalized one or more preparedness organizations responsible for the jurisdictional and interjurisdictional coordination of NIMS preparedness requirements.   _____YES _____NO

The jurisdiction's preparedness organization(s):
* have implemented and institutionalized processes, systems, procedures, and/or plans that ensure preparedness activities are coordinated among all appropriate agencies **within a jurisdiction, across jurisdictions, and with private organizations.**
* **meet regularly.**
* is/are **multijurisdictional** when regular cross-jurisdiction coordination is necessary.

The jurisdiction's preparedness organization(s) conduct the following preparedness activities:
* establish and coordinate **emergency plans and protocols,** including public communications and awareness.
* integrate and coordinate **activities of the jurisdictions and functions** within their purview.
* establish the **standards, guidelines, and protocols** necessary to promote interoperability among member jurisdictions and agencies.
* adopt **standards, guidelines, and protocols** for providing resources to requesting organizations, including protocols for incident support organizations.
* set priorities for **resources and other requirements.**

The jurisdiction's preparedness organization(s) have ensured the establishment and maintenance of the following multiagency coordination mechanisms:
* **Emergency Operations Centers (EOCs).**

- **mutual-aid agreements.**
- **incident information systems.**
- **nongovernmental organization and private-sector outreach.**
- **public awareness and information systems.**
- **mechanisms to deal with information and operations security.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2. Preparedness Programs

NIMS:	*Individual jurisdictions establish programs that address the requirements for each step of the preparedness cycle (planning, training, equipping, exercising, evaluating, and taking action to correct and mitigate). These programs should adopt relevant NIMS standards, guidelines, processes, and protocols.* [III-B-2 (Page 35)]

The jurisdiction has established preparedness programs that specifically address the requirements for each of the following preparedness cycle steps:
_____YES _____NO

- **planning.**
- **training.**
- **equipping.**
- **exercising.**
- **evaluating.**
- **corrective actions.**
- **mitigation actions.**

The jurisdiction's preparedness programs have adopted relevant NIMS **standards, guidelines, processes, and protocols.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-a. Preparedness Planning

NIMS:	*Plans describe how personnel, equipment, and other governmental and nongovernmental resources will be used to support incident management requirements. Plans represent the operational core of preparedness and provide mechanisms for setting priorities, integrating multiple entities and functions, establishing collaborative relationships, and ensuring that communications and other systems effectively support the complete spectrum of incident management activities. The following are the principal types of plans: [III-B-2-a (Page 35)]*

The jurisdiction's preparedness planning program has implemented and institutionalized plans that:

_____YES _____NO

- describe how **governmental and nongovernmental resources** will be used to support incident management requirements.
- provide mechanisms for setting **priorities.**
- provide mechanisms for **integrating multiple entities and functions.**
- provide mechanisms for **establishing collaborative relationships.**
- provide mechanisms for ensuring that communications and other systems **effectively support the complete spectrum of incident management activities.**

Notes: _____

(Voluntary Information)	Projected Compliance Date: _____, _____
Supporting Documentation:	Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-a-1. Emergency Operations Plan (EOP)

NIMS: *Each jurisdiction develops an EOP that defines the scope of preparedness and incident management activities necessary for that jurisdiction. The EOP should also describe organizational structures, roles and responsibilities, policies, and protocols for providing emergency support. The EOP facilitates response and short-term recovery activities (which set the stage for successful long-term recovery). It should drive decisions on long-term prevention and mitigation efforts or risk-based preparedness measures directed at specific hazards. An EOP should be flexible enough for use in all emergencies. A complete EOP should describe the purpose of the plan, situation and assumptions, concept of operations, organization and assignment of responsibilities, administration and logistics, plan development and maintenance, and authorities and references. It should also contain functional annexes, hazard-specific appendices, and a glossary. EOPs should predesignate jurisdictional and/or functional area representatives to the IC or UC whenever possible to facilitate responsive and collaborative incident management. While the preparedness of the public is generally beyond the scope of the NIMS, EOPs should also include pre-incident and post-incident public awareness, education, and communications plans and protocols. [III-B-2-a-1 (Page 35)]*

The jurisdiction has implemented and institutionalized an Emergency Operations Plan (EOP) that: _____YES _____NO

- defines the scope of **preparedness and incident management** activities necessary for the jurisdiction.
- describes **organizational structures, roles and responsibilities, policies, and protocols** for providing emergency support.
- facilitates **response and short-term recovery** activities.
- is **flexible** enough to use in all emergencies.
- describes the EOP **purpose.**
- describes the EOP **situation and assumptions.**
- describes the EOP **concept of operations.**
- describes the EOP **organization and assignment of responsibilities.**
- describes the **administration and logistics** of the EOP.
- describes EOP **development and maintenance.**
- describes the EOP **authorities and references.**
- contains **functional annexes.**
- contains **hazard-specific appendices.**
- contains a **glossary.**
- **predesignates** jurisdictional and/or functional area representatives to the IC or UC whenever possible.
- includes pre-incident and post-incident **public awareness, education, and communications plans and protocols.**

Notes: _____

(Voluntary Information) Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-a-2. Procedures

NIMS: *Each organization covered by the EOP should develop procedures that translate the tasking to that organization into specific action-oriented checklists for use during incident management operations, including how the organization will accomplish its assigned tasks. Procedures are documented and implemented with checklists; resource listings; maps, charts, and other pertinent data; mechanisms for notifying staff; processes for obtaining and using equipment, supplies, and vehicles; methods of obtaining mutual aid; mechanisms for reporting information to organizational work centers and EOCs; and communications operating instructions, including connectivity with private-sector and nongovernmental organizations. The development of procedures is required in accordance with the law for certain risk-based, hazard-specific programs. There are four standard levels of procedural documents:*
  - *Overview--a brief concept summary of an incident-related function, team, or capability.*
  - *Standard Operating Procedure (SOP) or Operations Manual--a complete reference document that details the procedures for performing a single function or a number of interdependent functions.*
  - *Field Operations Guide (FOG) or Handbook--a durable pocket or desk guide that contains essential information required to perform specific assignments or functions.*
  - *Job Aid--a checklist or other aid that is useful in performing or training for a job.*

[III-B-2-a-2 (Page 36)]

Each organization with responsibilities under the EOP has developed procedures that are documented and implemented through: _____YES _____NO
  - **checklists.**
  - **resource listings.**
  - **maps, charts, and other pertinent data.**
  - mechanisms for **notifying staff.**
  - processes for **obtaining and using equipment, supplies, and vehicles.**
  - **methods of obtaining mutual aid.**
  - mechanisms for **reporting information to organizational work centers and EOCs.**
  - **communications operating instructions** (that include connectivity with private-sector and nongovernmental organizations).

Procedures for **risk-based, hazard-specific** programs were developed in accordance with all applicable **legal requirements.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-a-3. Preparedness Plans

NIMS:	***Preparedness plans describe the process and schedule for identifying and meeting training needs (based on expectations the EOP has outlined); the process and schedule for developing, conducting, and evaluating exercises and correcting identified deficiencies; arrangements for procuring or obtaining required incident management resources through mutual-aid mechanisms; and plans for facilities and equipment that can withstand the effects of hazards that the jurisdiction is more likely to face.** [III-B-2-a-3 (Page 36)]*

The jurisdiction has implemented and institutionalized preparedness plans that describe: _____YES _____NO

- the process and schedule for **identifying and meeting training needs.**
- the process and schedule for **developing, conducting, and evaluating exercises and correcting identified deficiencies.**
- arrangements for **procuring or obtaining required incident management resources** through mutual-aid mechanisms.
- plans for **facilities and equipment that can withstand the effects of hazards** that the jurisdiction is more likely to face.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-a-4. Corrective Action and Mitigation Plans

NIMS:	*Corrective action plans are designed to implement procedures that are based on lessons learned from actual incidents or from training and exercises. Mitigation plans describe activities that can be taken prior to, during, or after an incident to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident.* [III-B-2-a-4 (Page 37)]

The jurisdiction has designed corrective action plans to implement procedures based on lessons learned from actual incidents or from training and exercises.   _____YES _____NO

The jurisdiction has designed mitigation plans that describe activities that can be taken before, during, or after an incident to **reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-a-5. Recovery Plans

NIMS:	*Recovery plans describe actions beyond rapid damage assessment and those necessary to provide immediate life support for victims. Long-term recovery planning involves identifying strategic priorities for restoration, improvement, and growth.* [III-B-2-a-5 (Page 37)]
The jurisdiction has engaged in long-term recovery planning to identify strategic priorities for restoration, improvement, and growth.	_____YES _____NO
Notes: _____	
(Voluntary Information) Supporting Documentation:	Projected Compliance Date: _____, _____ Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-b. Training and Exercises

NIMS: *Incident management organizations and personnel at all levels of government, and within the private-sector and nongovernmental organizations, must be appropriately trained to improve all-hazards incident management capability nationwide. Incident management organizations and personnel must also participate in realistic exercises--including multidisciplinary and multijurisdictional events and private-sector and nongovernmental organization interaction--to improve integration and interoperability. Training involving standard courses on incident command and management, incident management structure, operational coordination processes and systems--together with courses focused on discipline-specific and agency-specific subject-matter expertise--helps ensure that personnel at all jurisdictional levels and across disciplines can function effectively together during an incident.* [III-B-2-b (Page 37)]

The jurisdiction has implemented a training and exercise program that involves:

_____YES _____NO

- incident management **organizations and personnel** participating in realistic exercises, including multidisciplinary and multijurisdictional events and private-sector and nongovernmental organization interaction.
- standard courses on **Incident Command and management and incident management structure.**
- standard courses on **operational coordination processes and systems.**
- courses focused on **discipline-specific** subject matter expertise.
- courses focused on **agency-specific** subject matter expertise.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-c. Personnel Qualification and Certification

NIMS:	***Under the NIMS, preparedness is based on national standards for the qualification and certification of emergency response personnel. Standards will help ensure that participating agencies and organizations field personnel who possess the minimum knowledge, skills, and experience necessary to execute incident management and emergency response activities safely and effectively. Standards typically include training, experience, credentialing, currency, and physical and medical fitness. Personnel that are certified for employment in support of an incident that transcends interstate jurisdictions through the Emergency Management Assistance Compacts System will be required to meet national qualification and certification standards. Federal, State, local, and tribal certifying agencies; professional organizations; and private organizations should credential personnel for their respective jurisdictions.*** *[III-B-2-c (Page 38)]*

The jurisdiction has **credentialed its emergency response personnel** in accordance with a standard measure of **qualification and certification.**   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-d. Equipment Certification

NIMS:	*Incident management and emergency responder organizations at all levels rely on various types of equipment to perform mission essential tasks. A critical component of operational preparedness is the acquisition of equipment that will perform to certain standards, including the capability to be interoperable with equipment used by other jurisdictions. To enable national-level equipment certification, the NIMS Integration Center, as defined in Chapter VII, in coordination with appropriate Federal agencies, standards-making, certifying, and accrediting organizations and with appropriate State, local, tribal, private-sector, and nongovernmental organizations, facilitate the development and/or publication of national standards, guidelines, and protocols for equipment certification. This effort includes the incorporation of standards and certification programs already in use by incident management and emergency response organizations nationwide. Review and approve (with the assistance of national professional organizations and with input from Federal, State, local, tribal, and private sector and nongovernmental entities) lists of emergency responder equipment that meet national certification requirements.* [III-B-2-d (Page 39)]

The jurisdiction has implemented an **equipment acquisition program** that ensures the required equipment will comply with the relevant performance and interoperability standards.   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-e. Mutual-Aid Agreements

NIMS: *Mutual-aid agreements are the means for one jurisdiction to provide resources, facilities, services, and other required support to another jurisdiction during an incident. Each jurisdiction should be party to a mutual-aid agreement (such as the Emergency Management Assistance Compact) with appropriate jurisdictions from which they expect to receive or to which they expect to provide assistance during an incident. This would normally include all neighboring or nearby jurisdictions, as well as relevant private-sector and nongovernmental organizations. States should participate in interstate compacts and look to establish intrastate agreements that encompass all local jurisdictions. Mutual-aid agreements are also needed with private organizations, such as the American Red Cross, to facilitate the timely delivery of private assistance at the appropriate jurisdictional level during incidents. At a minimum, mutual-aid agreements should include the following elements or provisions:*
- *definitions of key terms used in the agreement;*
- *roles and responsibilities of individual parties;*
- *procedures for requesting and providing assistance;*
- *procedures, authorities, and rules for payment, reimbursement, and allocation of costs;*
- *notification procedures;*
- *protocols for interoperable communications;*
- *relationships with other agreements among jurisdictions;*
- *workers compensation;*
- *treatment of liability and immunity;*
- *recognition of qualifications and certifications; and*
- *sharing agreements, as required.*

Authorized officials from each of the participating jurisdictions will collectively approve all mutual-aid agreements. [III-B-2-e (Page 39)]

The jurisdiction has implemented **mutual-aid agreements,** including interstate compacts and intrastate agreements where applicable, **with all jurisdictions and organizations** they expect to support or from which they expect support.   _____YES _____NO

The jurisdiction has implemented and institutionalized mutual-aid agreements, each of which includes the following elements:
- **definitions of key terms** used in the agreement.
- **roles and responsibilities** of individual parties.
- procedures for **requesting and providing assistance.**
- procedures, authorities, and rules for **payment, reimbursement, and allocation of costs.**
- **notification** procedures.
- protocols for **interoperable communications.**
- **relationships with other interjurisdictional agreements.**
- **workers compensation.**
- treatment of **liability and immunity.**
- recognition of **qualifications and certifications.**
- **sharing agreements** (as required).

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

IV. Resource Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-A-1. Concepts

NIMS: *The underlying concepts of resource management in this context are that:*
- *It provides a uniform method of identifying, acquiring, allocating, and tracking resources.*
- *It uses effective mutual-aid and donor assistance and is enabled by the standardized classification of kinds and types of resources required to support the incident management organization.*
- *It uses a credentialing system tied to uniform training and certification standards to ensure that requested personnel resources are successfully integrated into ongoing incident operations.*
- *Its coordination is the responsibility of EOCs and/or multiagency coordination entities, as well as specific elements of the ICS structure.*
- *It should encompass resources contributed by private sector and nongovernmental organizations.*

[IV-A-1 (Page 43)]

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to address the underlying concepts of resource management, including: _____YES _____NO

- a uniform method of **identifying, acquiring, allocating, and tracking resources.**
- effective **mutual-aid and donor assistance.**
- **standardized classification of kinds and types** of resources required to support the incident management organization.
- a **credentialing system** tied to uniform training and certification standards.
- coordination that is the responsibility of **EOCs and/or multiagency coordination entities,** as well as specific elements of the ICS structure.
- encompassing resources contributed by **private sector and nongovernmental organizations.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-A-2-c. Categorizing Resources

NIMS:	*Resources are categorized by size, capacity, capability, skill, and other characteristics. This makes the resource ordering and dispatch process within jurisdictions, across jurisdictions, and between governmental and nongovernmental entities more efficient and ensures that ICs receive resources appropriate to their needs.* [IV-A-2-c (Page 44)]

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to ensure its resources are categorized by:
_____YES _____NO

- **size.**
- **capacity.**
- **capability.**
- **skill.**

Notes: _____

(Voluntary Information)

Supporting Documentation:

Projected Compliance Date: _____, _____

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-A-2-e. Effective Management of Resources

NIMS:	***Resource managers use validated practices to perform key resource management tasks systematically and efficiently. Examples include the following: (1) Acquisition Procedures. Used to obtain resources to support operational requirements. Preparedness organizations develop tools and related standardized processes to support acquisition activities. Examples include mission tasking, contracting, drawing from existing stocks, and making small purchases. (2) Management Information Systems. Used to collect, update, and process data; track resources; and display their readiness status. These tools enhance information flow and provide realtime data in a fast-paced environment where different jurisdictions and functional agencies managing different aspects of the incident life cycle must coordinate their efforts. Examples include geographical information systems (GISs), resource tracking systems, transportation tracking systems, inventory management systems, and reporting systems. (3) Ordering, Mobilization, Dispatching, and Demobilization Protocols. Used to request resources, prioritize requests, activate and dispatch resources to incidents, and return resources to normal status. Preparedness organizations develop standard protocols for use within their jurisdictions. Examples include tracking systems that identify the location and status of mobilized or dispatched resources and procedures to "demobilize" resources and return them to their original locations and status.*** *[IV-A-2-e (Page 44)]*

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to ensure resource managers **use validated practices to perform key resource management tasks** systematically and efficiently, including acquisition procedures; management information systems; and ordering, mobilization, dispatching, and demobilization protocols.

_____YES _____NO

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-B-3. Inventorying Resources

NIMS:	*A key aspect of the inventorying process is determining whether or not the primary-use organization needs to warehouse items prior to an incident.* Resource managers make this decision by considering the urgency of the need, whether there are sufficient quantities of required items on hand, and/or whether they can be produced quickly enough to meet demand. Another important part of the process is managing inventories with shelf life or special maintenance considerations. *Resource managers must build sufficient funding into their budgets for periodic replenishments, preventive maintenance, and capital improvements.* [IV-B-3 (Page 46)]

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to ensure the resource inventory process includes a determination of whether or not the primary-use organization will **warehouse items prior to an incident.**   _____YES _____NO

The jurisdiction's resource managers build sufficient funding into their budgets for **periodic replenishments, preventive maintenance, and capital improvements.**

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-B-4. Identifying Resource Requirements

NIMS:	*Resource managers identify, refine, and validate resource requirements throughout the incident life cycle. This process involves accurately identifying (1) what and how much is needed, (2) where and when it is needed, and (3) who will be receiving or using it. Resources to be identified in this way include supplies, equipment, facilities, and incident management personnel and/or emergency response teams. If a requestor is unable to describe an item by resource type or classification system, resource managers provide technical advice to enable the requirements to be defined and translated into a specification. Because resource availability and requirements will constantly change as the incident evolves, all entities participating in an operation must coordinate closely in this process. Coordination begins at the earliest possible point in the incident life cycle.* [IV-B-4 (Page 46)]

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to ensure resource managers: _____YES _____NO

- **identify, refine, and validate resource requirements** throughout the incident life cycle by accurately identifying what and how much is needed, where and when it is needed, and who will be receiving or using the resource.
- are able to **provide technical assistance** to define and translate requirements into a specification when a requestor is unable to describe an item by resource type or classification system.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-B-5. Ordering and Acquiring Resources

NIMS:	*Requests for items that the IC cannot obtain locally are submitted through the local EOC or multiagency coordinating entity using standardized resource-ordering procedures. If the servicing EOC is unable to fill the order locally, the order is forwarded to the next level--generally an adjacent local, State, regional EOC, or multiagency coordination entity.* [IV-B-5 (Page 46)]

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to ensure:

_____YES _____NO

- requests for items that the IC cannot obtain locally are **submitted through the local EOC or multiagency coordination entity** using standardized resource ordering procedures.
- that if a resource order cannot be filled by the local EOC or multiagency coordination entity, the order is **forwarded to the next level** (generally an adjacent State, regional, and local EOC, or multiagency coordination entity).

Notes: _____

(Voluntary Information)

Projected Compliance Date: _____, _____

Supporting Documentation:

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-B-6. Mobilizing Resources

NIMS: *Incident personnel begin mobilizing when notified through established channels.* **At the time of notification, they are given the date, time, and place of departure; mode of transportation to the incident; estimated date and time of arrival; reporting location (address, contact name, and phone number); anticipated incident assignment; anticipated duration of deployment; resource order number; incident number; and applicable cost and funding codes.** *The resource tracking and mobilization processes are directly linked.* **When resources arrive on scene, they must formally check in.** *This starts the on-scene, in-processing and validates the order requirements. Notification that the resource has arrived is sent back through the system. For resource managers, the mobilization process may include equipping, training, and/or inoculating personnel; designating assembly points that have facilities suitable for logistical support; and obtaining transportation to deliver resources to the incident most quickly, in line with priorities and budgets. EOCs and Incident Management Teams (IMTs) take direction from standard interagency mobilization guidelines at the national, regional, State, local, and tribal levels.* **Managers should plan and prepare for the demobilization process well in advance; often at the same time they begin the resource mobilization process. Early planning for demobilization facilitates accountability and makes transportation of resources as efficient, costs as low, and delivery as fast as possible.** *[IV-B-6 (Page 47)]*

The jurisdiction has implemented and institutionalized established notification channels for mobilizing incident response personnel. _____YES _____NO

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to ensure initial mobilization notifications include:
- **date, time, and place of departure.**
- **mode of transportation** to the incident.
- **estimated date and time of arrival.**
- **reporting location** (address, contact name, and phone number).
- **anticipated incident assignment.**
- **resource order number.**
- **incident number.**
- **applicable cost and funding codes.**

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to ensure that:
- **source organizations are promptly notified** when their deploying personnel formally check in onscene.
- emergency operations centers and incident management teams comply with **standard interagency mobilization guidelines.**
- **demobilization planning** begins as soon as possible.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-B-8-a. Nonexpendable Resources

NIMS:	*These are fully accounted for at the incident site and again when they are returned to the unit that issued them. The issuing unit then restores the resources to fully functional capability and readies them for the next mobilization.* ***Broken and/or lost items should be replaced through the Supply Unit, by the organization with invoicing responsibility for the incident, or as defined in pre-incident agreements.*** *In the case of human resources, such as IMTs, adequate rest and recuperation time and facilities are provided. Mobilization guides developed at each jurisdictional level and within functional agencies provide appropriate rest and recuperation time guidelines.* ***Important occupational health and mental health issues must also be addressed, including monitoring how such events affect emergency responders over time.*** *[IV-B-8-a (Page 48)]*

The jurisdiction has implemented and institutionalized processes, systems, procedures, and/or plans to ensure: _____YES _____NO

- all nonexpendable resources are **fully accounted for** at the incident site and again upon return to the issuing unit.
- **returned resources are restored** to fully functional capability and readied for mobilization.
- **broken and/or lost items are replaced, whether through the Supply Unit, by the organization with invoicing responsibility for the incident, or as defined in pre-incident agreements.**
- the provision of adequate **rest and recuperation** time and facilities for human resources.
- **occupational health and mental health issues** are addressed, including monitoring how such events affect emergency responders over time.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-B-8-b. Expendable Resources

NIMS:	*These are also fully accounted for. Restocking occurs at the point from which a resource was issued. The incident management organization bears the costs of expendable resources, as authorized in preplanned financial agreements concluded by preparedness organizations. **Returned resources that are not in restorable condition--whether expendable or nonexpendable--must be declared as excess according to established regulations and policies of the controlling entity.** Waste management is of special note in the process of recovering resources. Resources that require special handling and disposition (e.g., biological waste and contaminated supplies, debris, and equipment) are dealt with according to established regulations and policies. [IV-B-8-b (Page 48)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure: _____YES _____NO

- **all expendable resources are fully accounted for.**
- **the restocking of expendable resources occurs at the point of resource issue.**
- **the incident management organization bears the costs of expendable resources,** as authorized in preplanned financial agreements concluded by preparedness organizations.
- all returned resources that are nonrestorable, whether expendable or nonexpendable, are **declared as excess** according to controlling entity policies and regulations.
- the management of resources requiring special handling and disposition (e.g., biological waste, contaminated debris) **complies with established regulations and policies.**

Notes: _____

(Voluntary Information)

Supporting Documentation:

Projected Compliance Date: _____, _____

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

IV-B-9. Reimbursement

NIMS: *Reimbursement provides a mechanism to fund critical needs that arise from incident-specific activities. Reimbursement processes also play an important role in establishing and maintaining the readiness of resources.* ***Processes and procedures must be in place to ensure that resource providers are reimbursed in a timely manner. These must include mechanisms for collecting bills, validating costs against the scope of the work, ensuring that proper authorities are involved, and accessing reimbursement programs, such as the Public Assistance Program and the Emergency Relief Program****. [IV-B-9 (Page 48)]*

The jurisdiction has implemented and institutionalized processes and/or procedures that ensure **resource providers are reimbursed in a timely manner,** including mechanisms for **collecting bills, validating costs** against the scope of the work, ensuring **proper authorities** are involved, and **accessing reimbursement programs.**	_____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

V. Communications and Information Management

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

V-B-1-b. Incident Communications

NIMS:	***These will follow the standards called for under the ICS.*** *The IC manages communications at an incident, using a common communications plan and an incident-based communications center established solely for use by the command, tactical, and support resources assigned to the incident.* ***All entities involved in managing the incident will utilize common terminology, prescribed by the NIMS, for communications.*** *[V-B-1-b (Page 50)]*

The jurisdiction has implemented and institutionalized processes, procedures, and/or plans to ensure: _____YES _____NO

- incident communications follow the **standards called for under the ICS.**
- incident communications will be managed by the IC, using a **common communications plan** and an **incident-based communications center.**
- all incident management entities use **common terminology for communications.**

Notes: _____

(Voluntary Information)

Supporting Documentation:

Projected Compliance Date: _____, _____

Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

V-B-2-a-3. Networks

NIMS:	***Indications and warnings, incident notifications and public communications, and the critical information that constitute a common operating picture are disseminated through a combination of networks used by EOCs. Notifications are made to the appropriate jurisdictional levels and to private-sector and nongovernmental organizations through the mechanisms defined in emergency operations and incident action plans at all levels of government.*** *[V-B-2-a-3 (Page 51)]*

The jurisdiction has implemented and institutionalized information management processes, procedures, and/or plans to ensure: _____YES _____NO
- indications and warnings, incident notifications and public communications, and critical information that constitute a common operating picture are **disseminated through a combination of networks** used by EOCs.
- notifications are made through mechanisms defined in emergency operations and Incident Action Plans.

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

V-B-2-a-4. Technology Use

NIMS:	*Agencies must plan in advance for the effective and efficient use of information management technologies (e.g., computers and networks) to tie together all command, tactical, and support units involved in incident management and to enable these entities to share information critical to mission execution and the cataloguing of required corrective actions.* [V-B-2-a-4 (Page 51)]

The jurisdiction has implemented and processes, procedures, and/or plans for the use of **information management technologies to tie together all command, tactical, and support units** and to enable information sharing and corrective actions cataloguing.   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

V-B-2-b-1. Incident Notification and Situation Report

NIMS:	*Incident notification takes place at all levels. Although notification and situation report data must be standardized, it must not prevent information unique to a reporting organization from being collected or disseminated. Standardized transmission of data in a common format enables the passing of appropriate notification information to a national system that can handle data queries and information and intelligence assessments and analysis.* [V-B-2-b-1 (Page 51)]

The jurisdiction has implemented and institutionalized information management processes, procedures, and/or plans to ensure **incident notifications and situation reports** are standardized.

_____YES _____NO

Notes: _____

(Voluntary Information)

Supporting Documentation:

Projected Compliance Date: _____, _____

Compliance Strategy:

VI. Supporting Technologies

Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

VI-B-3. Research and Development to Solve Operational Problems

NIMS:	*R&D planning will be based on the operational needs of the entire range of NIMS users.* These needs represent key inputs as the Nation formulates its R&D agenda for developing new and improved incident management capabilities. *Since operational needs will usually exceed the resources available for research to address them, these needs must be validated, integrated, and prioritized.* The preparedness organizations described in Section III.B.1 perform these functions. The Department of Homeland Security is responsible for integrating user needs at all levels into the national R&D agenda. [VI-B-3 (Page 57)]

Preparedness organizations in the jurisdiction **validate, integrate, and prioritize the operational needs of the NIMS users** within their purview.   _____YES _____NO

Notes: _____

(Voluntary Information)   Projected Compliance Date: _____, _____

Supporting Documentation: Compliance Strategy:

VII. Ongoing Management and Maintenance

Chapter VII outlines the concepts, principles, structure, and responsibilities of the NIMS Integration Center (NIC). As per HSPD-5, Management of Domestic Incidents, the NIC ensures the ongoing management and maintenance of the NIMS. The NIC is a multijurisdictional, multidisciplinary center that includes mechanisms for regular consultation with other Federal Departments and agencies; State, local, and tribal incident management entities; emergency responder and incident management professional organizations; and private-sector and nongovernmental organizations. Chapter VII does not contain widely applicable requirements for compliance with NIMS and therefore is not included in the capabilities assessment. To review this chapter of the NIMS, please see the complete NIMS document in the Resources window on the left of the NIMCAST web application.

Appendices

GLOSSARY OF KEY TERMS

For the purposes of the NIMS, the following terms and definitions apply:

Agency: A division of government with a specific function offering a particular kind of assistance. In ICS, agencies are defined either as jurisdictional (having statutory responsibility for incident management) or as assisting or cooperating (providing resources or other assistance).

Agency Representative: A person assigned by a primary, assisting, or cooperating state, local, or tribal government agency or private entity that has been delegated authority to make decisions affecting that agency's or organization's participation in incident management activities following appropriate consultation with the leadership of that agency.

Area Command (Unified Area Command): An organization established (1) to oversee the management of multiple incidents that are each being handled by an ICS organization or (2) to oversee the management of large or multiple incidents to which several Incident Management Teams have been assigned. Area Command has the responsibility to set overall strategy and priorities, allocate critical resources according to priorities, ensure that incidents are properly managed, and ensure that objectives are met and strategies followed. Area Command becomes Unified Area Command when incidents are multijurisdictional. Area Command may be established at an emergency operations center facility or at some location other than an incident command post.

Assessment: The evaluation and interpretation of measurements and other information to provide a basis for decision-making.

Assignments: Tasks given to resources to perform within a given operational period that are based on operational objectives defined in the IAP.

Assistant: Title for subordinates of principal Command Staff positions. The title indicates a level of technical capability, qualifications, and responsibility subordinate to the primary positions. Assistants may also be assigned to unit leaders.

Assisting Agency: An agency or organization providing personnel, services, or other resources to the agency with direct responsibility for incident management. See also Supporting Agency.

Available Resources: Resources assigned to an incident, checked in, and available for a mission assignment, normally located in a Staging Area.

Branch: The organizational level having functional or geographical responsibility for major aspects of incident operations. A branch is organizationally situated between the section and the division or group in the Operations Section, and between the section and units in the Logistics Section. Branches are identified by the use of Roman numerals or by functional area.

Chain of Command: A series of command, control, executive, or management positions in hierarchical order of authority.

Check-In: The process through which resources first report to an incident. Check-in locations include the incident command post, Resources Unit, incident base, camps, staging areas, or directly on the site.

Chief: The ICS title for individuals responsible for management of functional sections: Operations, Planning, Logistics, Finance/Administration, and Intelligence (if established as a separate section).

Command: The act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.

Command Staff: In an incident management organization, the Command Staff consists of the Incident Command and the special staff positions of Public Information Officer, Safety Officer, Liaison Officer, and other positions as required, who report directly to the Incident Commander. They may have an assistant or assistants, as needed.

Common Operating Picture: A broad view of the overall situation as reflected by situation reports, aerial photography, and other information or intelligence.

Communications Unit: An organizational unit in the Logistics Section responsible for providing communication services at an incident or an EOC. A Communications Unit may also be a facility (e.g., a trailer or mobile van) used to support an Incident Communications Center.

Cooperating Agency: An agency supplying assistance other than direct operational or support functions or resources to the incident management effort.

Coordinate: To advance systematically an analysis and exchange of information among principals who have or may have a need to know certain information to carry out specific incident management responsibilities.

Deputy: A fully qualified individual who, in the absence of a superior, can be delegated the authority to manage a functional operation or perform a specific task. In some cases, a deputy can act as relief for a superior and, therefore, must be fully qualified in the position. Deputies can be assigned to the Incident Commander, General Staff, and Branch Directors.

Dispatch: The ordered movement of a resource or resources to an assigned operational mission or an administrative move from one location to another.

Division: The partition of an incident into geographical areas of operation. Divisions are established when the number of resources exceeds the manageable span of control of the Operations Chief. A division is located within the ICS organization between the branch and resources in the Operations Section.

Emergency: Absent a Presidentially declared emergency, any incident(s), human-caused or natural, that requires responsive action to protect life or property. Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, an emergency means any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

Emergency Operations Centers (EOCs): The physical location at which the coordination of information and resources to support domestic incident management activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g., state, regional, county, city, tribal), or some combination thereof.

Emergency Operations Plan: The "steady-state" plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards.

Emergency Public Information: Information that is disseminated primarily in anticipation of an emergency or during an emergency. In addition to providing situational information to the public, it also frequently provides directive actions required to be taken by the general public.

Emergency Response Provider: Includes state, local, and tribal emergency public safety, law enforcement, emergency response, emergency medical (including hospital emergency facilities), and related personnel, agencies, and authorities. See Section 2 (6), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002). Also known as *Emergency Responder*.

Evacuation: Organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

Event: A planned, nonemergency activity. ICS can be used as the management system for a wide range of events, e.g., parades, concerts, or sporting events.

Federal: Of or pertaining to the Federal Government of the United States of America.

Function: Function refers to the five major activities in ICS: Command, Operations, Planning, Logistics, and Finance/Administration. The term function is also used when describing the activity involved, e.g., the planning function. A sixth function, Intelligence, may be established, if required, to meet incident management needs.

General Staff: A group of incident management personnel organized according to function and reporting to the Incident Commander. The General Staff normally consists of the Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance/Administration Section Chief.

Group: Established to divide the incident management structure into functional areas of operation. Groups are composed of resources assembled to perform a special function not necessarily within a single geographic division. Groups, when activated, are located between branches and resources in the Operations Section. (See *Division.*)

Hazard: Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome.

Incident: An occurrence or event, natural or human-caused, that requires an emergency response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.

Incident Action Plan: An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

Incident Command Post (ICP): The field location at which the primary tactical-level, on-scene incident command functions are performed. The ICP may be collocated with the incident base or other incident facilities and is normally identified by a green rotating or flashing light.

Incident Command System (ICS): A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies and is applicable to small as well as large and complex incidents. ICS is used by various jurisdictions

and functional agencies, both public and private, to organize field-level incident management operations.

Incident Commander (IC): The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and the release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

Incident Management Team (IMT): The IC and appropriate Command and General Staff personnel assigned to an incident.

Incident Objectives: Statements of guidance and direction necessary for selecting appropriate strategy(s) and the tactical direction of resources. Incident objectives are based on realistic expectations of what can be accomplished when all allocated resources have been effectively deployed. Incident objectives must be achievable and measurable, yet flexible enough to allow strategic and tactical alternatives.

Initial Action: The actions taken by those responders first to arrive at an incident site.

Initial Response: Resources initially committed to an incident.

Intelligence Officer: The intelligence officer is responsible for managing internal information, intelligence, and operational security requirements supporting incident management activities. These may include information security and operational security activities, as well as the complex task of ensuring that sensitive information of all types (e.g., classified information, law enforcement sensitive information, proprietary information, or export-controlled information) is handled in a way that not only safeguards the information, but also ensures that it gets to those who need access to it to perform their missions effectively and safely. J

Joint Information Center (JIC): A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media at the scene of the incident. Public information officials from all participating agencies should collocate at the JIC.

Joint Information System (JIS): Integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, timely information during crisis or incident operations. The mission of the JIS is to provide a structure and system for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the IC; advising the IC concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the emergency response effort.

Jurisdiction: A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority. Jurisdictional authority at an incident can be political or geographical (e.g., city, county, tribal, State, or Federal boundary lines) or functional (e.g., law enforcement, public health).

Liaison: A form of communication for establishing and maintaining mutual understanding and cooperation.

Liaison Officer: A member of the Command Staff responsible for coordinating with representatives from cooperating and assisting agencies.

Local Government: A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or

interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal organization, or in Alaska a Native village or Alaska Regional Native Corporation; a rural community, unincorporated town or village, or other public entity. See Section 2 (10), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002).

Logistics: Providing resources and other services to support incident management.

Logistics Section: The section responsible for providing facilities, services, and material support for the incident.

Major Disaster: As defined under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122), a major disaster is

> any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought), or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this Act to supplement the efforts and available resources of States, tribes, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.

Management by Objective: A management approach that involves a four-step process for achieving the incident goal. The Management by Objectives approach includes the following: establishing overarching objectives; developing and issuing assignments, plans, procedures, and protocols; establishing specific, measurable objectives for various incident management functional activities and directing efforts to fulfill them, in support of defined strategic objectives; and documenting results to measure performance and facilitate corrective action.

Mitigation: The activities designed to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident. Mitigation measures may be implemented prior to, during, or after an incident. Mitigation measures are often informed by lessons learned from prior incidents. Mitigation involves ongoing actions to reduce exposure to, probability of, or potential loss from hazards. Measures may include zoning and building codes, floodplain buyouts, and analysis of hazard-related data to determine where it is safe to build or locate temporary facilities. Mitigation can include efforts to educate governments, businesses, and the public on measures they can take to reduce loss and injury.

Mobilization: The process and procedures used by all organizations-Federal, State, local, and tribal-for activating, assembling, and transporting all resources that have been requested to respond to or support an incident.

Multiagency Coordination Entity: A multiagency coordination entity functions within a broader multiagency coordination system. It may establish the priorities among incidents and associated resource allocations, deconflict agency policies, and provide strategic guidance and direction to support incident management activities.

Multiagency Coordination Systems:Multiagency coordination systems provide the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. The components of multiagency coordination systems include facilities, equipment, emergency operation centers (EOCs), specific multiagency coordination entities, personnel, procedures, and communications. These systems assist agencies and organizations to fully integrate the subsystems of the NIMS.

Multijurisdictional Incident:An incident requiring action from multiple agencies that each have jurisdiction to manage certain aspects of an incident. In ICS, these incidents will be managed under Unified Command.

Mutual-Aid Agreement:Written agreement between agencies and/or jurisdictions that they will assist one another on request, by furnishing personnel, equipment, and/or expertise in a specified manner.

National:Of a nationwide character, including the state, local, and tribal aspects of governance and policy.

National Disaster Medical System:A cooperative, asset-sharing partnership between the Department of Health and Human Services, the Department of Veterans Affairs, the Department of Homeland Security, and the Department of Defense. NDMS provides resources for meeting the continuity of care and mental health services requirements of the Emergency Support Function 8 in the Federal Response Plan.

National Incident Management System:A system mandated by HSPD-5 that provides a consistent nationwide approach for state, local, and tribal governments; the private-sector, and nongovernmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among state, local, and tribal capabilities, the NIMS includes a core set of concepts, principles, and terminology. HSPD-5 identifies these as the ICS; multiagency coordination systems; training; identification and management of resources (including systems for classifying types of resources); qualification and certification; and the collection, tracking, and reporting of incident information and incident resources.

National Response Plan:A plan mandated by HSPD-5 that integrates Federal domestic prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan.

Nongovernmental Organization:An entity with an association that is based on interests of its members, individuals, or institutions and that is not created by a government, but may work cooperatively with government. Such organizations serve a public purpose, not a private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross.

Operational Period: The time scheduled for executing a given set of operation actions, as specified in the Incident Action Plan. Operational periods can be of various lengths, although usually not over 24 hours.

Operations Section: The section responsible for all tactical incident operations. In ICS, it normally includes subordinate branches, divisions, and/or groups.

Personnel Accountability: The ability to account for the location and welfare of incident personnel. It is accomplished when supervisors ensure that ICS principles and processes are functional and that personnel are working within established incident management guidelines.

Planning Meeting: A meeting held as needed prior to and throughout the duration of an incident to select specific strategies and tactics for incident control operations and for service and support planning. For larger incidents, the planning meeting is a major element in the development of the Incident Action Plan (IAP).

Planning Section: Responsible for the collection, evaluation, and dissemination of operational information related to the incident, and for the preparation and documentation of the IAP. This section also maintains information on the current and forecasted situation and on the status of

resources assigned to the incident.

Preparedness: The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process. Preparedness involves efforts at all levels of government and between government and private-sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources. Within the NIMS, preparedness is operationally focused on establishing guidelines, protocols, and standards for planning, training and exercises, personnel qualification and certification, equipment certification, and publication management.

Preparedness Organizations: The groups and fora that provide interagency coordination for domestic incident management activities in a nonemergency context. Preparedness organizations can include all agencies with a role in incident management, for prevention, preparedness, response, or recovery activities. They represent a wide variety of committees, planning groups, and other organizations that meet and coordinate to ensure the proper level of planning, training, equipping, and other preparedness requirements within a jurisdiction or area.

Prevention: Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.

Private Sector: Organizations and entities that are not part of any governmental structure. It includes for-profit and not-for-profit organizations, formal and informal structures, commerce and industry, and private voluntary organizations (PVO).

Processes: Systems of operations that incorporate standardized procedures, methodologies, and functions necessary to provide resources effectively and efficiently. These include resource typing, resource ordering and tracking, and coordination.

Public Information Officer: A member of the Command Staff responsible for interfacing with the public and media or with other agencies with incident-related information requirements.

Publications Management: The publications management subsystem includes materials development, publication control, publication supply, and distribution. The development and distribution of NIMS materials is managed through this subsystem. Consistent documentation is critical to success, because it ensures that all responders are familiar with the documentation used in a particular incident regardless of the location or the responding agencies involved.

Qualification and Certification:This subsystem provides recommended qualification and certification standards for emergency responder and incident management personnel. It also allows the development of minimum standards for resources expected to have an interstate application. Standards typically include training, currency, experience, and physical and medical fitness.

Reception Area: This refers to a location separate from staging areas, where resources report in for processing and out-processing. Reception Areas provide accountability, security, situational awareness briefings, safety awareness, distribution of IAPs, supplies and equipment, feeding, and

bed down.

Recovery: The development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private-sector, nongovernmental, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; postincident reporting; and development of initiatives to mitigate the effects of future incidents.

Recovery Plan: A plan developed by a State, local, or tribal jurisdiction with assistance from responding Federal agencies to restore the affected area.

Resources: Personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an EOC.

Resource Management: Efficient incident management requires a system for identifying available resources at all jurisdictional levels to enable timely and unimpeded access to resources needed to prepare for, respond to, or recover from an incident. Resource management under the NIMS includes mutual-aid agreements; the use of special state, local, and tribal teams; and resource mobilization protocols.

Resources Unit: Functional unit within the Planning Section responsible for recording the status of resources committed to the incident. This unit also evaluates resources currently committed to the incident, the effects additional responding resources will have on the incident, and anticipated resource needs.

Response: Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and of mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice.

Safety Officer: A member of the Command Staff responsible for monitoring and assessing safety hazards or unsafe situations and for developing measures for ensuring personnel safety.

Section: The organizational level having responsibility for a major functional area of incident management, e.g., Operations, Planning, Logistics, Finance/Administration, and Intelligence (if established). The section is organizationally situated between the branch and the Incident Command.

Span of Control: The number of individuals a supervisor is responsible for, usually expressed as the ratio of supervisors to individuals. (Under the NIMS, an appropriate span of control is between 1:3 and 1:7.)

Staging Area:Location established where resources can be placed while awaiting a tactical assignment. The Operations Section manages Staging Areas.

State: When capitalized, refers to any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. See Section 2 (14), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002).

Strategic: Strategic elements of incident management are characterized by continuous long-term, high-level planning by organizations headed by elected or other senior officials. These elements involve the adoption of long-range goals and objectives, the setting of priorities; the establishment of budgets and other fiscal decisions, policy development, and the application of measures of performance or effectiveness.

Strike Team: A set number of resources of the same kind and type that have an established minimum number of personnel.

Strategy: The general direction selected to accomplish incident objectives set by the IC.

Supporting Technologies: Any technology that may be used to support the NIMS is included in this subsystem. These technologies include orthophoto mapping, remote automatic weather stations, infrared technology, and communications, among various others.

Task Force: Any combination of resources assembled to support a specific mission or operational need. All resource elements within a Task Force must have common communications and a designated leader.

Technical Assistance: Support provided to State, local, and tribal jurisdictions when they have the resources but lack the complete knowledge and skills needed to perform a required activity (such as mobile-home park design and hazardous material assessments).

Terrorism: Under the Homeland Security Act of 2002, terrorism is defined as activity that involves an act dangerous to human life or potentially destructive of critical infrastructure or key resources and is a violation of the criminal laws of the United States or of any State or other subdivision of the United States in which it occurs and is intended to intimidate or coerce the civilian population or influence a government or affect the conduct of a government by mass destruction, assassination, or kidnapping. See Section 2 (15), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002).

Threat: An indication of possible violence, harm, or danger.

Tools: Those instruments and capabilities that allow for the professional performance of tasks, such as information systems, agreements, doctrine, capabilities, and legislative authorities.

Tribal: Any Indian tribe, band, nation, or other organized group or community, including any Alaskan Native Village as defined in or established pursuant to the Alaskan Native Claims Settlement Act (85 stat. 688) [43 U.S.C.A. and 1601 et seq.], that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

Type: A classification of resources in the ICS that refers to capability. Type 1 is generally considered to be more capable than Types 2, 3, or 4, respectively, because of size; power; capacity; or, in the case of incident management teams, experience and qualifications.

Unified Area Command: A Unified Area Command is established when incidents under an Area Command are multijurisdictional. (See *Area Command.*)

Unified Command: An application of ICS used when there is more than one agency with

incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the UC, often the senior person from agencies and/or disciplines participating in the UC, to establish a common set of objectives and strategies and a single IAP.

Unit: The organizational element having functional responsibility for a specific incident planning, logistics, or finance/administration activity.

Unity of Command: The concept by which each person within an organization reports to one and only one designated person. The purpose of unity of command is to ensure unity of effort under one responsible commander for every objective.

Volunteer: For purposes of the NIMS, a volunteer is any individual accepted to perform services by the lead agency, which has authority to accept volunteer services, when the individual performs services without promise, expectation, or receipt of compensation for services performed. See, e.g., 16 U.S.C. 742f(c) and 29 CFR 553.101.

ACRONYMS

ALS	Advanced Life Support
DOC	Department Operations Center
EMAC	Emergency Management Assistance Compact
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
FOG	Field Operations Guide
GIS	Geographic Information System
HAZMAT	Hazardous Material
HSPD-5	Homeland Security Presidential Directive-5
IAP	Incident Action Plan
IC	Incident Commander
ICP	Incident Command Post
ICS	Incident Command System
IC or UC	Incident Command or Unified Command
IMT	Incident Management Team
JIS	Joint Information System
JIC	Joint Information Center
LNO	Liaison Officer
NDMS	National Disaster Medical System
NGO	Nongovernmental Organization
NIMS	National Incident Management System
NRP	National Response Plan
POLREP	Pollution Report
PIO	Public Information Officer
PVO	Private Voluntary Organizations
R&D	Research and Development
RESTAT	Resources Status
ROSS	Resource Ordering and Status System
SDO	Standards Development Organizations
SITREP	Situation Report
SO	Safety Officer
SOP	Standard Operating Procedure
UC	Unified Command
US&R	Urban Search and Rescue